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Date: \_\_\_\_\_ Name: Kent E. Genin Signature: \_\_\_\_\_

BRINKS  
HOFER  
GILSON  
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: J. Overton et al.

Appln. No.: 10/646,350

Filed: August 22, 2003

For: System And Method For Establishing And  
Retrieving Data Based On Global Indices

Attorney Docket No: 11958/60

Examiner: Unknown

Art Unit: 3629

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Transmittal Letter (in duplicate); Information Disclosure Statement; PTO Form 1449; One Copy of References A1-A99
- ☒ Return Receipt Postcard

Fee calculation:

- ☐ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_).
- ☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x 43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+\$290=	
					Total	\$		Total	\$

Fee payment:

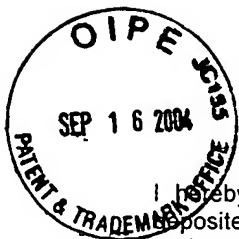
- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Date

9/14/2004

Respectfully submitted,

Kent E. Genin (Reg. No. 37,834)



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Commissioner for Patents  
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on 9/14/2004

Date of Deposit

Kent E. Genin

Name of applicant, assignee or  
Registered Representative

Signature

9/14/2004

Date of Signature

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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GLOBAL INDICES

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### INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicant hereby cites the following reference(s):

#### U.S. PATENTS

<u>Patent No.</u>	<u>Date</u>	<u>Inventor</u>
4,553,261	11/12/85	Froessl
4,636,858	01/13/87	Hague et al.
4,728,978	03/01/88	Inoue et al.
4,800,488	01/24/89	Agrawal et al.

<u>Patent No.</u>	<u>Date</u>	<u>Inventor</u>
4,825,406	04/25/89	Bean et al.
4,835,372	05/1989	Gombrich et al.
4,914,571	04/03/90	Baratz et al.
5,008,700	04/16/91	Okamoto
5,124,814	06/23/92	Takahashi et al.
5,193,185	03/09/93	Lanter
5,208,623	05/04/93	Takahashi
5,291,399	03/1994	Chaco
5,319,401	06/07/94	Hicks
5,347,600	09/13/94	Barnsely et al.
5,384,643	01/24/95	Inga et al.
5,414,841	05/09/95	Bingham et al.
5,455,648	10/03/95	Kazami
5,475,817	12/1995	Waldo et al.
5,479,654	12/1995	Squibb
5,499,113	03/12/96	Tsuboi et al.
5,522,077	05/28/96	Cuthbert et al.
5,537,547	07/16/96	Chan et al.
5,550,981	08/27/96	Bauer et al.
5,551,027	08/27/96	Choy et al.
5,557,790	09/17/96	Bingham et al.
5,560,005	09/24/96	Hoover et al.
5,576,952	11/19/96	Stutman et al.
5,579,067	11/26/96	Wakabayashi
5,610,653	03/11/97	Abecassis
5,617,570	04/01/97	Russell et al.
5,625,841	04/29/97	Dawkins et al.
5,649,247	07/15/97	Itoh et al.
5,664,170	09/02/97	Taylor
5,669,029	09/16/97	Fyson et al
5,724,575	03/03/98	Hoover et al.
5,740,428	04/1998	Mortimore et al.
5,764,889	06/09/98	Ault et al.
5,764,906	06/09/98	Edelstein et al.
5,774,670	06/30/98	Montulli
5,781,725	07/14/98	Saito
5,784,565	07/21/98	Lewine
5,802,518	09/01/98	Karaev et al.
5,809,161	09/15/98	Auty et al.
5,809,331	09/15/98	Staats et al.
5,809,495	09/15/98	Loaiza
5,813,006	09/22/98	Polnerow et al.

<u>Patent No.</u>	<u>Date</u>	<u>Inventor</u>
5,848,246	12/08/98	Gish
5,864,482	01/26/99	Hazama et al.
5,872,973	02/16/99	Mitchell et al.
5,875,302	02/23/99	Obhan
5,903,889	05/1999	de la Huerga et al.
5,907,837	05/25/99	Ferrel et al.
5,913,210	06/15/99	Call
5,915,240	06/22/99	Karpf
5,918,241	06/1999	Perkowski
5,920,702	07/06/99	Bleidt et al.
5,940,844	11/1999	Cahill et al.
5,950,173	09/07/99	Perkowski
5,961,610	10/05/99	Kelly et al.
5,966,705	10/12/99	Koneru et al.
5,974,124	10/26/99	Schlueter, Jr. et al.
5,974,409	10/26/99	Sanu et al.
5,978,773	11/02/99	Hudetz et al.
5,987,519	11/16/99	Peifer et al.
5,995,965	11/30/99	Experton
6,032,175	02/29/00	Fletcher et al.
6,047,332	04/04/00	Viswanathan et al.
6,055,544	04/25/00	DeRose et al.
6,058,193	05/02/00	Cordery et al.
6,092,189	07/18/00	Fisher et al.
6,108,787	08/2000	Anderson et al.
6,131,095	10/2000	Low et al.
6,154,873	11/2000	Call
6,188,766 B1	02/13/01	Kocher
6,201,931 B1	03/13/01	Cipolla et al.
6,202,070 B1	03/13/01	Nguyen et al.
6,209,095 B1	03/27/01	Anderson et al.
6,212,280 B1	04/03/01	Howard, Jr. et al.
2002/0032787 A1	03/2002	Overton et al.
6,377,986	04/2002	Philyaw et al.
6,418,441	07/2002	Call
2002/0112048	08/2002	Gruyer et al.

### FOREIGN PATENT DOCUMENTS

<u>Document No.</u>	<u>Date</u>	<u>Country</u>
WO 86/05610	09/25/86	WIPO
EP 568 161 A1	03/11/93	EPO

<u>Document No.</u>	<u>Date</u>	<u>Country</u>
WO 98/15910	04/16/98	WIPO
WO 98/31138	07/16/98	WIPO
EP 0 889 422 A2	01/07/99	EPO
EP 0 919 912 A2	06/02/99	EPO
WO 00/03526	01/20/00	WIPO

#### OTHER ART

Callaghan V L et al., "Structures and Metrics for Image Storage and Interchange" Journal of Electronic Imaging, Vol. 2, No. 2, 1 April 1993, pp. 126-137

Bourke D G et al., "Programmable Module and Circuit for Machine-Readable Unique Serial Number" IBM Technical Disclosure Bulletin, Vol. 27, No. 4A, 1 September 1984, pp. 1942-1944

Kleinholz L et al., "Supporting Cooperative Medicine., The Bermed Project" IEEE Multimedia, Vol. 1, No. 4, 21 December 1994, pp. 44-53

"Method for Network Naming and Routing" IBM Technical Disclosure Bulletin, Vol. 37, No. 9, 1 September 1994, page 255

"Minimizing Locking to Access Global Shared Data", IBM Technical Disclosure Bulletin, February, 1995, pp. 619-622

"Service Location in an Open Distributed Environment," Beitz et al., Second International Workshop on Services in Distributed and Networked Environments, IEEE Comput. Soc., June, 1995, pp. 28-34

Muniz, R., et al., "A robust software barcode reader using the Hough transform", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages

Fresonke, D., "In-fab identification of silicon wafers with clean, laser marked barcodes", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages

Sriram, T., et al., "Applications of barcode technology in automated storage and retrieval systems", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages

Baer, Tony, "Tales from the Network", Computerworld Healthcare Journal,  
[www.computerworld.com/news/1996/story/0,11280,14557,00.html](http://www.computerworld.com/news/1996/story/0,11280,14557,00.html), pp. 1-9,  
October 1, 1996

For the Examiner's convenience, Applicant is enclosing Form PTO-1449 (four sheets), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicant respectfully requests the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

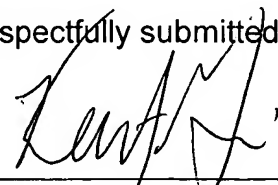
By submitting this Statement, Applicant is attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

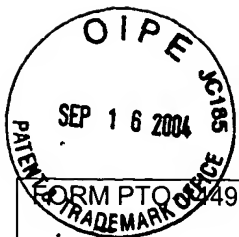
Applicant also notes for the Examiner's consideration co-pending U.S. Application Serial No. 09/661,222, filed September 13, 2000 which includes at least one common inventor with the present application and generally related subject matter.

Applicant has calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

September 14, 2007  
Date

Respectfully submitted,

  
\_\_\_\_\_  
Kent E. Genin (Reg. No.37,834)



FORM PTO 1449 TRADEMARK OFFICE	SERIAL NO. 10/646,350	CASE NO. 11958/60
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE August 22, 2003	GROUP ART UNIT 3629
(use several sheets if necessary)		APPLICANT(S): John Overton et al.

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A1	4,553,261	11/12/85	Froessl		
	A2	4,636,858	01/13/87	Hague et al.		
	A3	4,728,978	03/01/88	Inoue et al.		
	A4	4,800,488	01/24/89	Agrawal et al.		
	A5	4,825,406	04/25/89	Bean et al.		
	A6	4,835,372	05/1989	Gombrich et al.		
	A7	4,914,571	04/03/90	Baratz et al.		
	A8	5,008,700	04/16/91	Okamoto		
	A9	5,124,814	06/23/92	Takahashi et al.		
	A10	5,193,185	03/09/93	Lanter		
	A11	5,208,623	05/04/93	Takahashi		
	A12	5,291,399	03/1994	Chaco		
	A13	5,319,401	06/07/94	Hicks		
	A14	5,347,600	09/13/94	Barnsely et al.		
	A15	5,384,643	01/24/95	Inga et al.		
	A16	5,414,841	05/09/95	Bingham et al.		
	A17	5,455,648	10/03/95	Kazami		
	A18	5,475,817	12/1995	Waldo et al.		
	A19	5,479,654	12/1995	Squibb		
	A20	5,499,113	03/12/96	Tsuboi et al.		
	A21	5,522,077	05/28/96	Cuthbert et al.		
	A22	5,537,547	07/16/96	Chan et al.		
	A23	5,550,981	08/27/96	Bauer et al.		
	A24	5,551,027	08/27/96	Choy et al.		
	A25	5,557,790	09/17/96	Bingham et al.		
	A26	5,560,005	09/24/96	Hoover et al.		
	A27	5,576,952	11/19/96	Stutman et al.		
	A28	5,579,067	11/26/96	Wakabayashi		
	A29	5,610,653	03/11/97	Abecassis		
	A30	5,617,570	04/01/97	Russell et al.		
	A31	5,625,841	04/29/97	Dawkins et al.		
	A32	5,649,247	07/15/97	Itoh et al.		
	A33	5,664,170	09/02/97	Taylor		
	A34	5,669,029	09/16/97	Fyson et al		
	A35	5,724,575	03/03/98	Hoover et al.		
	A36	5,740,428	04/1998	Mortimore et al.		

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449	SERIAL NO. 10/646,350	CASE NO. 11958/60
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	FILING DATE August 22, 2003	GROUP ART UNIT 3629
(use several sheets if necessary)		APPLICANT(S): John Overton et al.

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A37	5,764,889	06/09/98	Ault et al.		
	A38	5,764,906	06/09/98	Edelstein et al.		
	A39	5,774,670	06/30/98	Montulli		
	A40	5,781,725	07/14/98	Saito		
	A41	5,784,565	07/21/98	Lewine		
	A42	5,802,518	09/01/98	Karaev et al.		
	A43	5,809,161	09/15/98	Auty et al.		
	A44	5,809,331	09/15/98	Staats et al.		
	A45	5,809,495	09/15/98	Loaiza		
	A46	5,813,006	09/22/98	Polnerow et al.		
	A47	5,848,246	12/08/98	Gish		
	A48	5,864,482	01/26/99	Hazama et al.		
	A49	5,872,973	02/16/99	Mitchell et al.		
	A50	5,875,302	02/23/99	Obhan		
	A51	5,903,889	05/1999	de la Hueraga et al.		
	A52	5,907,837	05/25/99	Ferrel et al.		
	A53	5,913,210	06/15/99	Call		
	A54	5,915,240	06/22/99	Karpf		
	A55	5,918,241	06/1999	Perkowski		
	A56	5,920,702	07/06/99	Bleidt et al.		
	A57	5,940,844	11/1999	Cahill et al.		
	A58	5,950,173	09/07/99	Perkowski		
	A59	5,961,610	10/05/99	Kelly et al.		
	A60	5,966,705	10/12/99	Koneru et al.		
	A61	5,974,124	10/26/99	Schlueter, Jr. et al.		
	A62	5,974,409	10/26/99	Sanu et al.		
	A63	5,978,773	11/02/99	Hudetz et al.		
	A64	5,987,519	11/16/99	Peifer et al.		
	A65	5,995,965	11/30/99	Experton		
	A66	6,032,175	02/29/00	Fletcher et al.		
	A67	6,047,332	04/04/00	Viswanathan et al.		
	A68	6,055,544	04/25/00	DeRose et al.		
	A69	6,058,193	05/02/00	Cordery et al.		
	A70	6,092,189	07/18/00	Fisher et al.		
	A71	6,108,787	08/2000	Anderson et al.		
	A72	6,131,095	10/2000	Low et al.		
	A73	6,154,873	11/2000	Call		
	A74	6,188,766 B1	02/13/01	Kocher		
	A75	6,201,931 B1	03/13/01	Cipolla et al.		
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**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	A76	6,202,070 B1	03/13/01	Nguyen et al.		
	A77	6,209,095 B1	03/27/01	Anderson et al.		
	A78	6,212,280 B1	04/03/01	Howard, Jr. et al.		
	A79	2002/0032787 A1	03/2002	Overton et al.		
	A80	6,377,986	04/2002	Philyaw et al.		
	A81	6,418,441	07/2002	Call		
	A82	2002/0112048	08/2002	Gruyer et al.		

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO
	A83	WO 86/05610	09/25/86	WIPO		
	A84	EP 568 161 A1	03/11/93	EPO		
	A85	WO 98/15910	04/16/98	WIPO		
	A86	WO 98/31138	07/16/98	WIPO		
	A87	EP 0 889 422 A2	01/07/99	EPO		
	A88	EP 0 919 912 A2	06/02/99	EPO		
	A89	WO 00/03526	01/20/00	WIPO		

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)</small>	
	A90	Callaghan V L et al., "Structures and Metrics for Image Storage and Interchange" Journal of Electronic Imaging, Vol. 2, No. 2, 1 April 1993, pp. 126-137
	A91	Bourke D G et al., "Programmable Module and Circuit for Machine-Readable Unique Serial Number" IBM Technical Disclosure Bulletin, Vol. 27, No. 4A, 1 September 1984, pp. 1942-1944
	A92	Kleinholz L et al., "Supporting Cooperative Medicine., The Bermed Project" IEEE Multimedia, Vol. 1, No. 4, 21 December 1994, pp. 44-53
	A93	"Method for Network Naming and Routing" IBM Technical Disclosure Bulletin, Vol. 37, No. 9, 1 September 1994, page 255
	A94	"Minimizing Locking to Access Global Shared Data", IBM Technical Disclosure Bulletin, February, 1995, pp. 619-622
	A95	"Service Location in an Open Distributed Environment," Beitz et al., Second International Workshop on Services in Distributed and Networked Environments, IEEE Comput. Soc., June, 1995, pp. 28-34
	A96	Muniz, R., et al., "A robust software barcode reader using the Hough transform", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages
	A97	Fresonke, D., "In-fab identification of silicon wafers with clean, laser marked barcodes", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages
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EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS (Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	
A98	Sriram, T., et al., "Applications of barcode technology in automated storage and retrieval systems", Abstract from IEEE/IEE Electronic Library online, printed 4/30/01, 2 pages	
A99	Baer, Tony, "Tales from the Network", Computerworld Healthcare Journal, www.computerworld.com/news/1996/story/0,11280,14557,00.html, pp. 1-9, October 1, 1996	

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